

Taunton Deane Borough Council

Corporate Governance Committee – 27 June 2011

Corporate Governance Action Plan

Report of Performance & Client Lead

(This matter is the responsibility of Executive Councillor Stock-Williams)

1. Executive Summary

This report shows progress against the Corporate Governance Action Plan as at the end of May 2011.

2. Background

- 2.1 Each year, the Council receives a number of reports and assessments which result in recommendations for improvement. These normally contain individual action plans which can prove challenging to manage and monitor. Therefore an aggregated plan provides the Council with details, in one place, of the scale of improvements required and progress against them.
- 2.2 The Corporate Governance Action Plan has undergone a full review and has been updated to include the most recent audit recommendations. These are in addition to some actions from previous audits that remain outstanding or are still considered as priorities for improvement. It now details the recommendations from the following sources:
 - Value for Money conclusion report (Audit Commission 2010)
 - Use of Resources assessment (Audit Commission 2009)
 - CAA Organisation Assessment (Audit Commission 2009)
 - Annual Audit Letters (Audit Commission 2008 - 2010)
 - Annual Governance Reports (Audit Commission 2008 - 2010)
 - Strategic Housing Review 2010
 - Partnership Audit (SWAP 2009)
- 2.3 Actions progress monitoring is undertaken quarterly by Theme Managers and a summary features in the Corporate Performance Scorecard. The Corporate Governance Group provides an overview of the plan, and may request further actions to be added (for example, significant findings from Internal Audits).

3. Progress (as at May 2011)

3.1 The Corporate Governance Action Plan lists **32 actions** (please see **Appendix A**). Progress monitoring against implementation by the target dates has revealed the following:

Priority	On Target / Complete ☺	Some Concern ☹	Off Target ☹
High	13 (72%)	5 (28%)	
Medium	10 (77%)	2 (15%)	1 (8%)
Low		1 (100%)	
Total	23 (72%)	8 (25%)	1 (3%)

This indicates an improved position compared to the previous report in March 2011, where 62% of actions were 'on target', and 38% of actions with 'some concern'.

Most actions are on course to be completed by the target date.

There are however 5 'High Priority' actions items with an 'Amber' status (this represents 28% of all the high priority actions).

These actions are:

- Complete Business Continuity (BC) and IT disaster recovery planning (including SW1 services)
- Update the Workforce Strategy (ensuring there are clear links to financial planning) and complete & agree a new workforce plan
- Improve control and monitoring of Section 106 Agreements
- Ensure that TDBC realises benefits from SW1 and SW1 Transformation Projects
- The Council should review its debtor balances to ensure that the amounts included are receivable, and if the amounts should be considered for write off

Key to alerts:

☺ (Green)	Planned actions are on course to be achieved by target date, or have been completed
☹ (Amber)	Some uncertainty or concern in meeting planned actions by target date
☹ (Red)	Planned actions are off course, or have not been achieved by target date

- 3.2 Following a review of the Internal Audit findings from 2010/11, four 'high risk'* recommendations will be added to the Corporate Governance Action Plan (progress updates will be provided to this committee in September), these are:

Creditors (data quality)

- That the Section 151 Officer monitors the level of PO compliance and encourages three-way matching
- That the Section 151 Officer ensures guidance is issued to staff on when the Direct Input payment method is used
- That the Shared Accounting Manager determines why duplicate payments continue to occur and from this reviews the effectiveness of appropriate duplicate controls

Licensing monies

- That the Performance and Client Lead requests the Business Support Leads for Licensing and Planning works with the IT Department to ensure the kiosk is programmed to ensure it can take cash payments.

* 'High risk' recommendations are those defined as: *"Findings that are fundamental to the integrity of the unit's business processes and require immediate attention of management"*

4. Finance Comments

Recommended improvement actions in relation to Managing Finances are included in the Corporate Governance Action Plan.

5. Legal Comments

Recommended improvement actions in relation to legal / Corporate Governance issues are included in the Corporate Governance Action Plan.

6. Links to Corporate Aims

The Corporate Governance Action Plan supports all aspects of the Council's corporate aims and operations.

7. Environmental and Community Safety Implications

Recommended improvement actions in relation to Climate Change are included in the Corporate Governance Action Plan.

8. Equalities Impact

Recommended improvement actions in relation to Equalities & Diversity are included in the Corporate Governance Action Plan.

9. Risk Management

There are a number of risks associated with not completing the recommended actions within the Corporate Governance Action Plan (eg External Audit opinion, reputation, financial). Recommended improvement actions in relation to Risk Management are included in the Corporate Governance Action Plan.

10. Partnership Implications

Recommended improvement actions in relation to partnership working, are included in the Corporate Governance Action Plan.

11. Recommendations

It is recommended that Members scrutinise progress of the Corporate Governance Action Plan.

Contact:

Dan Webb

Performance and Client Lead

01823 356441

Ext: 2504









d.webb@tauntondeane.gov.uk











CORPORATE GOVERNANCE ACTION PLAN 2011


APPENDIX A

Corporate Action Plan 2009-10

Item	Improvement / recommendation	Proposed / Planned activities	Priority (H,M,L)	Target date	Lead Officer	Source	Success criteria	Progress	As at (date)	Status
1	Complete Business Continuity (BC) and IT disaster recovery planning (including SW1 services)	1. Ensure adequate BC plans in place at corporate and service level, including key partners. 2. Annual testing of BC plans 3. Address any weaknesses identified by audit	H	Mar-11	John Lewis / Alison North	2009/10 VfM conclusion report Sept 2010	Plans in place & tested	Testing regime to be agreed - probably desktop. Work continuing on Service Plans. Corporate BC Plan circulated to CMT Feb 2011. SW1/Client working on IT Draft Plan. Theme Managers have identified priorities for Theme/Service IT systems - this now needs collating & prioritising at a corporate level.	May-11	
2	To carry out a health check on the Council's ethical governance framework	Letter and questionnaire to be sent to all members and senior officers. Results to be assessed by the Standards committee with a view to arranging workshops to cover any gaps in knowledge for members	L	Dec-11	Tonya Meers	Annual Governance Statement 2008/09	50% return rate on questionnaires and good attendance at subsequent workshops.	50% return rate on questionnaires. The workshops are not yet scheduled due to the timing and elections. This recommendation will need revisiting post elections. This will need to be put on hold until the Localism Bill has been given royal assent which is anticipated to be November 2011 as it is not yet clear what will happen with the Standards regime.	May-11	
3	To further strengthen the Scrutiny function	1) To produce an annual report 2) To implement recommendations of the IDeA peer review	M	Feb-11	Tonya Meers		Completion of the report	ACTION COMPLETE	May-11	
4	Complete Personal Development Plans (PDP) for all elected Members	Deliver 2011 Member induction programme	M	Dec-11	Tonya Meers	2009/10 VfM conclusion report Sept 2010	Completion of the report	Training cannot commence until post elections, due to not knowing who the new Councillors will be. Training is scheduled to take place between May and December. This is underway	May-11	
5	To take Health & Safety forward	1. Increase knowledge and performance within the Council. 2. Implement the H & S action plan (including audit recommendations)	H	Dec-11	David Woodbury	Annual Governance Statement 2008/09	An up-to-date H & S action plan being delivered. Compliance with TDBC H & S policy & management arrangements	A revised corporate Health & Safety forward plan for 2011 is now in place, which includes actions to address 5 priority issues. This plan will be monitored using 3 new performance measures (available for reporting as from Quarter 1, 2011/12). Further detail on progress of the H & S forward plan is provided at the quarterly Corporate Governance Committee.	May-11	
6	Update the IT Strategies and ensure there are clear links from these to financial planning.	Establish an IT work group	H	Sep-11	Shirlene Adam, (+ Alison North; & SW1 IT)	2009/10 VfM conclusion report Sept 2010	Fit for purpose IT strategy	As per the September 2010 CIP report, interdependencies were identified to define the strategy. These are now being brought together with the ICT Strategy as part of the Budget Review Programme. The Infrastructure Strategy first part delivery funding has been agreed for 11/12 budget and work has begun to implement this.	May-11	
7	Update the Workforce Strategy (ensuring there are clear links to financial planning) and complete & agree a new workforce plan	August 2011 - review statistical data in draft workforce strategy. By November 2011 - Revised workforce strategy to complement four year budget strategy.	H	Mar-11	Shirlene Adam (+ Martin Griffin; & SW1 HR)	2009/10 VfM conclusion report Sept 2010	Fit for purpose Workforce Development Plan - refer to L2	Discussions with SW1 regarding support they can provide have taken place but without being resolved. Part 1 of the Workforce Plan has been completed and will be discussed with Simon Lewis with a view to this feeding into the Budget Review Programme. A Workforce Strategy which includes current data and details the strategies already in place to meet workforce needs will be produced. Workforce data being updated by SW1 on a monthly and quarterly basis but further agreement required on the updating of wider Borough data required to ensure the Part 1 document is ready to progress during the completion of the Budget Strategy Project.	May-11	
8	Update the procurement strategy to bring it in line with current practices.	To be drafted by SW1 then signed off by partners	H		Richard Sealy / Paul Harding	UoR 2008-09 (Draft Sept 09)	A new procurement strategy will be adopted	Procurement Strategy approved by Full Council 13th October 2010. ACTION COMPLETE.	May-11	
9	Further enhance the council's approach to Equalities & Diversity	1. Improved links between Equality Impact Assessments (EIA) and decision-making. 2. Embed EIAs within service plans 3. Deliver Corporate Equalities Strategy (2010-13) 4. Collect data on staff equalities issues and customer feedback on equalities issues, and consider action required to address any issues arising	H	On-going	Simon Lewis / Lisa Redston	AAIL 07/08 (March 2009) CAA Organisational Assessment	All staff & members trained. Target levels for EFLG standard achieved. E & D embedded within service planning, & all council comms & reports	Training of 60 members of staff was to be delivered March 2011, however this was been deferred until post elections. EIA's should now be included in all reports to Committee members, there is a monitoring procedure in place to ensure this. Each Service Plan now has an Equality Action Plan. Work on the Corporate Equality Strategy is ongoing. Staff survey has been completed and analysed to draw out inequalities. Customer feedback has been collected via Equality Group Forums, all engagement activities ensure equality issues are raised.	May-11	
10	Improve access to buildings for disabled people	TDBC Building Control to provide SWOne with status reports. SWOne to produce programme and cost. TDBC to approve.	M	Dec-11	Helen Acreman SWOne	CAA Organisational Assessment	Buildings compliant with DDA regs	SW1 Property & Facilities Management are awaiting revised audit reports and recommendations from Building Control so that a costed programme can be presented to TDBC for approval. Inspections are due to commence in August (dedicated 1 day per week)	May-11	
11	To fully review the Financial regulations	To complete review of the financial regulations	M	Jun-11	Shirlene Adam	Annual Governance Statement 2008/09	A new financial regs document produced	Draft completed by Maggie Hammond, awaiting review by Shirlene. Will be done by end of June 2011 and then progressed via CMT and Members if necessary	May-11	
12	Agree milestones to guide preparations to comply with International Financial Reporting Standards (IFRS)	Liaise with Audit Commission on progress	H	Jun-11	Paul Fitzgerald	2009/10 VfM conclusion report Sept 2010	Successful Audit of Accounts	The milestones have been agreed and implementation of IFRS will be achieved in the final accounts which are to be approved by 30th June.	May-11	

Item	Improvement / recommendation	Proposed / Planned activities	Priority (H,M,L)	Target date	Lead Officer	Source	Success criteria	Progress	As at (date)	Status
13	Engage with the local community during budget preparation to identify priorities	Budget Review Programme project includes 'Councillor & Public priorities' workstream	H	Sep-11	Shirlene Adam / Simon Lewis	2009/10 VfM conclusion report Sept 2011	Public consulted during MTFP budget setting process	1) Project well underway. Proposal for member engagement and steer which will include checking assumptions with the community, to be taken to CMT May 11. Regular project progress updates are reported to Members Change Steering Group & CMT Project 'start up' phase completed end Feb 11. 2) Project team in place and staff briefings organised. Phase one (data / research / communications) will be delivered March - June, with 'Public Priorities' workstream due for reporting to Members by Sept. Regular project progress updates are reported to Members Change Steering Group & CMT	May-11	
14	Ensure effective performance management framework is in place for all key partnerships	1. Ensure a consistent, appropriate & regular reporting mechanism is in place for all partnerships (SW1, SWP, Tone Leisure & SWAP). 2. Investigate what steps all partners are taking to ensure it will achieve its targets (ref R10)	H	On-going	Richard Sealy / Alison North	AAIL 08/09 (Dec 2009)	Mechanism in place for regular reporting to members	Pre-existing regular reporting mechanisms are already in place in respect of the SWP, Tone Leisure & SWAP partnerships. We have introduced PIs for Tone Leisure which are being reported to members. A general overview report of the SW1 partnership is now being taken to Corporate Scrutiny on a 6-monthly basis. This general report is backed up by specific reports to Scrutiny in respect of key areas of the contract e.g. Procurement, Sickness monitoring, Revs & Bens. Progress against the transformation projects continues to be monitored monthly by the Members Steering Group. Additional high level reporting on key partnerships & trans projects is included within the quarterly monitoring reports to senior management & members.	May-11	
15	Maintain a register of partnerships and prepare a protocol for establishing new partnerships	1. Compile comprehensive partnership register. 2. Confirm involvement and they meet authority's aims and objectives. 3. Introduce protocol for establishing membership prior to commitment. 4. Establish framework and categorisation of partnerships. 5. Widen scope of Members Task & Finish Group re membership on outside bodies	M	Sep-11	Tonya Meers	SWAP Partnership Arrangements Audit (Sept 09) / 2009/10 VfM conclusion report Sept 2010	Partnerships adequately controlled and managed	A more detailed audit is currently being carried out by SWAP which is due to complete at the end of May. Auditors comments will then be addressed. A draft report has been received from SWAP which has indicated further actions. This will be reported to Corporate Governance Committee	May-11	
16	Identify indicators for assessing the performance of all key services	1. Review all performance measures included in 2011/12 service plans 2. Review Corporate Scorecard with CMT & Members (post local elections) 3. Ensure 2011/12 scorecard only includes Performance Indicators that can be properly measured & reported on (with data collection processes developed)	M	Quarter 2 (July-Sept)	Dan Webb	2009/10 VfM conclusion report Sept 2010	A fit for purpose corporate performance scorecard	Target date changed from June - The review of the corporate and service performance indicators (& scorecard) will take place during Quarter 2 due to the priority being given to the Budget Review Programme by CMT & the new Executive committee. Service Planning (which includes target-setting & PIs) is also slightly behind schedule and will now be completed by the end of June.	May-11	
17	Improve control and monitoring of Section 106 Agreements	1. Implement regular monitoring (Acolaid system) and reporting to Executive, PH & Senior Management. 2. Implement process of management of the payment or other obligation 3. Project team to be established 4. Quarterly reports to Theme Managers' group	H	Sep-11	Brian Gibbs / Tim Burton / Tonya Meers	Housing Inspection	S106 agreements in Acolaid - regular monitoring, reporting and prompt raising of invoices. Prompt escalation where non-payment	The project team are making good progress on identifying 'log jams' on current S106 Agreements. SWAP have carried out an audit on the process and procedures and have highlighted a number of concerns although at this stage it is a discussion document but once the final report is completed these issues will be addressed. Relevant Acolaid module now available and arranging training with IDOX .	May-11	
18	Develop and implement 4 year Budget Strategy (MTFP) 2012/13 - 2015/16	Deliver Budget Review Programme, including: * VfM analysis of all TDBC services inc benchmarking (ref R3) * Discuss & agree political priorities * Approve managers 4 year savings plans	H	Sep-11	Shirlene Adam / Simon Lewis	2009/10 VfM conclusion report Sept 2010	* A clear set of corporate priorities * A plan for a sustainable budget 2012/13 - 2015/16 * Draft updated corporate strategy & financial strategy	1) Project 'start up' phase completed end Feb 11. Project workstreams at advanced stage and will report to CMT early June followed by Members Change Steering Group. Service Profiles which include VfM data analysis (costs & performance) largely completed. Regular project progress updates are reported to Members Change Steering Group & CMT. Plan to engage with political leadership for strategic steer to be taken to CMT 23rd May.	May-11	
19	Raise the profile of the green agenda across the whole organisation	1. 10% less energy campaign 2. Agree actions required to achieve the aim of becoming a carbon neutral authority 3. Use sustainability appraisals to inform decisions	H	On-going	Kevin Toller	2009/10 VfM conclusion report Sept 2009	Co2 reduction from TDBC operations. Achieve carbon-neutrality. Sustainability appraisal process agreed	Progress on implementation of the Carbon Management Plan (CMP) was checked in April: 36 actions had been implemented; 23 were in the progress of implementation & will be carried forward into next year's CMP; 10 actions were abandoned (as either being cost prohibitive or no funding available). Work on 2011/12 CMP started March 2011, and should be presented for approval in June/July. Work on a strategy for achieving carbon neutrality due in 2011/12. TDBC '10 percent less' campaign has successfully raised awareness	May-11	
20	Ensure that TDBC realises benefits from SW1 and SW1 Transformation Projects	1. Ensure unitary charge savings 2. Implement the benefits tracking tool in SW1 contract 3. Monitor actual procurement savings against target	H	On-going	Richard Sealy	2009/10 VfM conclusion report Sept 2009	Benefits realised	We continue to receive 2.5% pa cumulative savings on our unitary charge. This will result in savings in excess of £5.7m over the lifetime of the SW1 contract. WHY IS THE STATUS AMBER? - because we have not yet completed the launch of SAP and consequently have not implemented the benefits tracking tool. Additionally, the procurement savings are well behind the original profile and we have yet to agree a revised savings profile with SW1.	May-11	
21	To complete the Core Council Review and develop thematic working	1) Selection of a preferred future business model for DLO services (Theme 3). 2) Finalise Theme 5 after May local elections (part of Budget Review Programme) 3) Thematic working OD plan agreed and being implemented	H	Various (see progress update)	Brendan Cleere	Annual Governance Statement 2008/09	To contribute to the aims of the CCR of making significant efficiency savings and enabling the Council to address its corporate priorities	1.)Recruitment to Themes 1,2 & 4 completed. 2.) Interim plan for internal transformation of DLO approved (Dec 2010). Further iteration of internal transformation plan to be produced in summer 2011, alongside re-start of procurement process to develop outsource option. 3.) OD plan approved by CMT (March 2011).	May-11	

Item	Improvement / recommendation	Proposed / Planned activities	Priority (H,M,L)	Target date	Lead Officer	Source	Success criteria	Progress	As at (date)	Status
22	Deliver Staff Survey action plan	Planning meeting with SW1 to be held by 31st July 2011. Draft survey and timetable to CMT during August 2011. Staff Survey to be conducted September 2011, results to be analysed by 31st October 2011.	H	On-going	Martin Griffin	UoR 2008-09 (Draft Sept 09)	High percentage completion by staff. Clarity on staff attitudes and morale translated into actions within Service Plans, IIP Plan and Workforce Development Plan	Progress continues to be reviewed every two months by CMT and is on target.	May-11	
23	Exert more effective management action to reduce staff sickness	Monthly corporate monitoring of corporate absence to be undertaken.	H	On-going Quarterly	Martin Griffin	2009/10 VfM conclusion report Sept 2009	Stronger emphasis on sickness absence management across the organisation. Revised policies and procedures and additional training. Lower sickness absence during 2010/11	Additional actions have been implemented during 2010/11 including improved reporting from SW1 HR. Further work is being done to challenge higher sickness levels. 2010/11 BVPI sickness levels were 9.62 days and below 2009/10 actual of 10.39 days.	May-11	
24	Make effective arrangements to investigate National Fraud Initiative (NFI) matches	Work with Internal Audit to investigate data matches	M	Mar-11	Shirlene Adam	2009/10 VfM conclusion report Sept 2010	All data matches successfully investigated	All high level data matches have been issued to service leads for investigation. As at 9 May 2011 good progress is being made, with work to be completed by the end of May 2011.	May-11	
25	As part of the year end process the Council should instigate a robust review of its accruals to ensure that expenditure is accounted for in the correct period	1) SWONE Advisory Team will undertake a central review of accruals v April transactions to quality assure the accruals process 2) Clear guidance will be issued to budget holders and other relevant staff, as part of the year end guidance notes and training. This will include a requirement to review April transactions for items related to previous years.	H	1) May 11 2) March 11	Paul Fitzgerald	Annual Governance Report 2009/10	1. External auditor satisfied with accruals process; and no material errors reported by external audit. 2. Training and guidance delivered.	Training and guidance has been issued to budget holders in March, with further support and advice throughout the year end process. A review of material April transactions has been undertaken to potential accruals that were omitted from information provided by budget holders through the standard accruals process.	May-11	
26	The Council should review its debtor balances to ensure that the amounts included are receivable, and if the amounts should be considered for write off	1) A review is already underway and write-offs being progressed. A regular review of overall position will be undertaken by Performance & Client Lead, and reported to CMT 2) Managers will review and monitor aged debts, and ensure debts are collected or written off on a timely basis. 3) Quarterly reports to be considered by Theme Managers' group	H	Mar-11	Paul Harding	Annual Governance Report 2009/10	Bad debts reviewed regularly at service level through running aged debt reports. CMT receive reports from Theme Managers at least quarterly on all debts above £5k which are more than 90 days overdue. Services promptly respond to requests from AR for decisions on whether to write-off a debt.	1. No corporate overview of whether Aged Debt reports are being run by services or how often. 2. The Sw One AR service report significant delay in receiving instructions from services as to what action should be taken post Final Notice. 3. Outstanding debt, which was migrated from the TDBC legacy system (at least now 2 years old), is not receiving obvious attention within service lines. 4. Theme Managers are to consider and discuss their respective aged debt position at their meeting on 24th May.	May-11	
27	Update the master data file for vendors (suppliers) to remove duplicate entries for the same vendor (supplier)	SPS to investigate options for de-duplication	M	TBC	Gary Hood (SW1)	Annual Governance Report 2009/10	Vendor Duplicates records are minimised.	A project team has been formed to assess the work required and plan this work across the different business areas (across SPS, AP, Master Data & retained orgs). Work has started on identifying the first wave of "inactive" suppliers and a report is awaited on duplicate records in SAP from Tech Services.	01-May-11	
28	A proper audit trail should be maintained to demonstrate that the council tax and business rates systems fully reconcile to the general ledger	1) SWONE Control Team to undertake regular reconciliation to general ledger on monthly basis. 2) SWONE Advisory to monitor through balance sheet control reviews	M	Mar-11	1) Heather Tiso 2) Paul Fitzgerald	Annual Governance Report 2009/10	Council tax and business rates systems fully reconcile to the general ledger. No material errors reported by external audit.	Cash postings are checked and reconciled with the general ledger on a daily basis. A more holistic reconciliation of the general ledger and feeder system balances is undertaken as part of normal year end routines and this is underway for 2010/11. Cost and benefit of moving to more regular reconciliations will be undertaken by SWONE.	May-11	
29	All transactions on the SAP financial system should contain sufficient narrative to identify the purpose of the transaction, the timing and the source	1) Consider whether TDBC requires descriptions from AP, AR and other feeder transactions to populate GL Description fields in SAP. Prepare/agree RFS if required. 2) Users to be reminded that sufficient narrative should be included on GL transactions such as journals 3) Business process for journals and virements will be reviewed to: i) provide clear guidance on descriptions protocol; ii) build control checks and quality assurance into the process	1) L 2 & 3) M	1) TBC 2 & 3) Dec 10	1) Maggie Hammond 2) Lizzie Watkin 3) Paul Fitzgerald	Annual Governance Report 2009/10	3. Deputy S151 signs off sample of transactions as fit for purpose.	Item 1) There has been no action Item 2. Activity complete - Reminders have been issued to Finance staff periodically regarding need for suitable narratives (last reminder 4/10/10) Item 3. The business processes have been reviewed and significant improvements made. The process will be further refined during March/April.	May-11	
30	The arrangements between the Council and the Valuer should be formalised. This is important given the move to IFRS, and the additional work that the Valuer will be instructed to complete in order to assist the Council prepare its accounts under the IFRS.	Review the additional services required to comply with new IFRS reporting requirements, and decide whether there are any resourcing / contractual implications.	M	Sep-11	Alison North / Keith Pennyfather	Annual Governance Report 2009/10	Agreed process and standards agreed in writing on new requirements.	A meeting is to be arranged to clarify and agree requirements.	Jun-11	
31	All loans and investments taken out on behalf of the Council should be supported by appropriate documentation.	1) Review process for securing documentation from Treasury Management (TM) Advisory related to treasury decisions. 2) Ensure correspondence and evidence of all loan and investment approvals and details are maintained	M	1) Nov 10 2) Nov 11	1) Maggie Hammond 2) Lizzie Watkin	Annual Governance Report 2009/10	Process has been reviewed and evidence of TM transactions is completed.	Documentation is kept by SWOne where external TM advisors recommend any treasury activity. New loan template in use, investment approvals were already maintained. Item 2) Activity complete - all loan transactions are supported by pro-forma documentation, including details of loans and approvals. Investments previously supported by approval evidence.	01-May-11	

Item	Improvement / recommendation	Proposed / Planned activities	Priority (H,M,L)	Target date	Lead Officer	Source	Success criteria	Progress	As at (date)	Status
32	All registers of interest should be kept up to date	Undertake review of process to maintain Register of Interests. Set up register on website ready for May local elections	M	Mar-11	Tonya Meers	Annual Governance Report 2009/10	Up-to-date register	This has slipped due to heavy workloads between January - April however new registers have been set up for the new council.	May-11	

CORPORATE IMPROVEMENT PLAN 2010-11

As at August 2010 - updated by all Lead Officers

Item	Improvement / recommendation	Activities planned
L1	To complete the Core Council Review and thematic working	1. Recruitment to new posts in themes 2 and 4 2.) Selection of a preferred future business model for DLO services. 3) Thematic working OD plan
L2	Prepare an up to date workforce plan.	1.Planning Meeting on 24/11/09 2.Outline Plan to CMT by 31/12/09 including member and staff engagement actions 3.Engagement with SW1 HR to support the development of the Plan. 4.Background data and structure of Draft Plan to be completed by 28/02/10 5.Results from Staff Survey to be taken into account by 30/04/10 6.Final Draft Plan to CMT by 31/05/10 7. Member approval sought by 30/06/10

APP

Category	Code of Corporate Governance principle	Code of Corporate Governance reference	Priority (H,M,L)	Target date	Lead Officer
Workforce planning	Capacity & capability	5.1, 5.2	H	Mar-10	Brendan Cleere
Workforce planning	Capacity & capability	5.1, 5.2	H	Jun-10	Rob North

ENDIX A

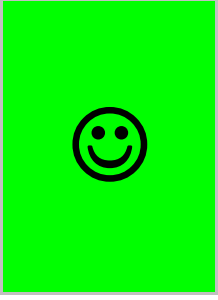
Source	Ref	Success criteria
Annual Governance Statement 2008/09		To contribute to the aims of the CCR of making significant efficiency savings and enabling the Council to address its
UoR 2008-09 (Draft Sept 09)	R27	Fit for purpose Workforce Development Plan which complements the English Local Authority Workforce Strategy and has been assessed by GOSW. A detailed Action Plan For the period 2010-2013 has been agreed and funded.

Progress	As at (date)
<p>Recruitment to themes 1, 2& 4 has been completed. All staff briefings completed in June/July. Internal transformation and outsource options for DLO services to be put to members for decision after May 2011 elections.</p>	<p>Aug-10</p>
<p>A review of this work determined that the plan could not be completed before the Government's October spending review in view of the difficulties in predicting workforce needs ahead of this date. The sections of the plan covering current workforce, organisational objectives, profile and local employment market are being completed. The predictive and skills audit parts will need further work over the next 3 months. SW one have been asked to support this.</p>	<p>Nov-10</p>

<p>TDBC only survey , completed by 45% of staff, analysed and published. Staff groups have dug deeper into the issues and commitments made and incorporated into an OD action plan which is progressing well and is reviewed every 2 months by CMT. Information incorporated into IIP actions and used to progress workforce plan.</p>	<p>Nov-10</p>
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Status





Item	Improvement / recommendation
	To fully review the Constitution during 2008/09 Ongoing task
	Review & refresh Data Quality Strategy
	To review the Corporate Governance arrangements in relation to partnership working
	To fully review the Constitution during 2008/09 Ongoing task
19	Continue to address issues relating to housing
29	Sufficient systems access controls should be operated to identify and address any unauthorised access. Evidence of review of this control should be documented to provide assurance that this is working effectively

Proposed / Planned activities	Category	Code of Corporate Governance principle	Code of Corporate Governance reference
To complete the review of the constitution	Corporate governance		
Conduct annual review of DQ strategy & update to reflect changes to National Performance framework (abolition of NIs, CAA etc)	Data Quality	Effective decision making	4.2
1. To be put onto a future scrutiny agenda. 2. Training for members on the guidance	Partnerships		
To complete the review of the constitution	Corporate governance		
As per Housing Report	Service improvement		
Arrangements to periodically review high risk roles to be considered.			

Priority (H,M,L)	Target date	Lead Officer	Source	Ref	Success criteria
H	Jun-11	Tonya Meers	Annual Governance Statement 2008/09		Publication of an updated constitution
L	Jun-11	Dan Webb	AAIL 07/08 (March 2009) / UoR 2008-09 (Draft Sept 09)	Para 8 / R15	A current & fit for purpose DQ strategy with action plan implemented.
		Tonya Meers	Annual Governance Statement 2008/09		Report back to O&S
H	Jun-11	Tonya Meers	Annual Governance Statement 2008/09		Publication of an updated constitution
M	Dec-11	Martin Daly	CAA Organisational Assessment 2009	Para 8	Adherence to project plan and completion of project outputs
L	Mar-11	Maggie Hammond	Annual Governance Report 2009/10	R5	A review of high risk roles has been completed and evidenced.

Progress	As at (date)
This is now ongoing	Feb-11
REMOVED (action now included in P & C Lead's Operational Plan) - The DQ Strategy requires an annual review, and will be updated to reflect the changes to the national performance framework. The Performance Lead is monitoring the transition from National Indicators to the new 'Single data List' and keeping Officers informed as appropriate. No DQ issues were raised during audits in 2010.	Feb-11
This should be removed as the Task & Finish Group's focus has now changed, and there is an internal audit of the partnerships anyway.	Feb-11
Remove	Feb-11
This externally funded project, which started in December 2010, is designed to improve the quality and effectiveness of strategic (non-landlord) housing services, for example, homelessness, housing advice, lettings, policy development, private sector housing, and enabling affordable housing. To date, good progress has been made in the "start up" phase of the project, with all the initial targets being met, on time and within budget.	Feb-11
This review has not been completed. Auditor removed this recommendation from the 2010/11 Financial controls audit following explanation given (by Maggie H) re SAP controls re roles	01-May-11

Status

